DOCUMENT RESUME

ED 356 538 EA 024 784

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TITLE An Intellectual Empowerment Perspective to School Restructuring for Student Cultural Diversity in the 21st Century. [Revised.]
PUB DATE Oct 92
NOTE 42p.; Paper presented at the Annual Meeting of the University Council for Educational Administration (Minneapolis, MN, October 30-November 1, 1992).
PUB TYPE Reports - Evaluative/Feasibility (142) -- Speeches/Conference Papers (150)

EDRS PRICE MF01 Plus Postage. PC Not Available from EDRS.
DESCRIPTORS Collegiality; *Critical Theory; *Cultural Differences; Elementary Secondary Education; *Intellectual Experience; *Participative Decision Making; Peer Relationship; *School Based Management; *School Restructuring; Teacher Administrator Relationship; Teacher Student Relationship; Theory Practice Relationship
IDENTIFIERS *Empowerment

ABSTRACT

The process of school-empowerment ultimately may be intellectual: an awareness and understanding by schools as unique collective learning communities that new school structures, roles, and relationships are necessary in the first place. First, preliminary results from field studies of schools undergoing restructuring are used to show that school players lack an understanding of the theoretic bases for changing the three essential relationships in schools: principal-teacher, teacher-teacher, and teacher-student. Second, the works of Dewey, Glasser, and Giroux are examined to exemplify theoretic underpinnings useful to practitioners as analytic, transformative tools for reconceptualizing school relationships. The product of intellectual empowerment used by learning communities is an agenda for action, or informal theory: making implicit human interests and ideologies explicit within the practitioner context. It is concluded that, until school personnel become empowered intellectually, they will continue to look for answers from "above," e.g., research centers, universities, think tanks, just as they have received mandates and instructional procedures from local and state education agencies. Schools will remain infertile grounds in which the adoption and implementation phases, but not the institutionalization phase occur. Finally, two suggestions are made for principal preparation programs in: (1) recruitment and program design; and (2) setting a new cultural orientation between professors and graduate students. (Contains 51 references.) (Author)

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An Intellectual Empowerment Perspective to School Restructuring for Student Cultural Diversity in the 21st Century [1]

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Paper Presented at the annual convention of the
University Council for Educational Administration
Minneapolis, October 30 - November 1, 1992

EA 024 784

[1] The research of Keedy (1991a), minor revision of Glasser's control theory, and explanations and inclusion of two overheads used at presentation (as figures) are additions to the original paper presented at UCEA.

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Abstract

The process of school empowerment ultimately may be intellectual: an awareness and understanding by schools as unique collective learning communities that new school structures, roles, and relationships are necessary in the first place. First, initial results from field studies of schools undergoing restructuring are used to show that school players lack an understanding of the theoretic bases for changing the three essential relationships in schools: principal-teacher, teacher-teacher, and teacher-student. Second, the author examines the works of Dewey, Glasser, and Giroux to exemplify theoretic underpinnings useful to practitioners as analytic, transformative tools for reconceptualizing school relationships. The product of intellectual empowerment used by learning communities is an agenda for action, or informal theory: making implicit human interests and ideologies explicit within the practitioner context. The author concludes that, until school personnel become empowered intellectually, they will continue to look for answers from "above," e.g., research centers, universities, think tanks, just as they have received mandates and instructional procedures from local and state education agencies. Schools will remain infertile grounds in which the adoption and implementation phases, but not the institutionalization phase, occurs. Finally, two suggestions are made for principal preparation programs in: 1) recruitment and program design, and 2) setting a new cultural orientation between professors and graduate students.

> "... serious reform depends upon our ability to change the way we think about learning and growing up in schooling. That is, reform is not a matter of reorganizing the resources now available in schools and school districts and states. Rather, we must look deeper, challenging some of the central ideas that originally shape our schools. Much of the challenge is implicit in Horace's new school. The trick is how to create a climate for serious and undefensive reassessment of our enterprise, how to help children learn. (Sizer, 1992, p. 196)

Since the early 1980s Ted Sizer and his associates at The Coalition of Essential Schools have been practicing the school-site empowerment for systemic reform not advocated by many policy analysts until the late 1980s (Elmore & McLaughlin, 1988; McLaughlin, 1989; Timar, 1989). The hurdles posed by school-site empowerment are numerous. One hurdle, however, is rarely mentioned, and that is that **the process of school empowerment ultimately may be intellectual: an awareness and understanding by these schools as collective learning communities that new school structures, roles, and relationships are necessary in the first place**. In this paper I contend that many teachers and administrators embarking on the long journey of school renewal and structural change may be skipping this vital, initial step.

Herein lies the predicament of systemic school reform. As a nation we have proven intractably anti-intellectual, and our public schools are no exception to this tradition.

In analyzing anti-intellectualism in America, Hofstadter (1963) devoted three of his 15 chapters to our public schools. Although public schools in the late 1880s had become effective agencies for providing social and economic opportunities, Americans placed far less premium on developing the student's mind for intellectual or imaginative achievement. In the post-Sputnik furor over American education, for example, the curriculum committee members commissioned by the San Francisco School District urged in their report a return to firmer academic standards. This committee was rebuked sharply by six education organizations for their "academic pettiness and snobbery" and for limiting education to "informing the mind and developing the intelligence" instead of reasserting the values of occupational competence, successful family life, and enjoyment of physical health (Hofstadter citing Judging and Improving the Schools: Current Issue, California Association of School Administrators, 1960).

Against this anti-intellectual backdrop, school restructuring can be viewed as a major intellectual challenge. Schools are embedded in organization structures frozen in 100 years of Taylorism and assembly-line management. Yet systemic reform (the need for change and cooperation from all players involved in schooling) ultimately means changes in essential roles and relationships among people in schools (Timar, 1989). Only when a school's teachers construct their own

informed theory of practice will they be empowered intellectually for authentic renewal and change.

In this paper I **first** expand on the concept of intellectual empowerment. **Second,** I use initial results from field studies of schools undergoing restructuring to show that school players lack an understanding of the theoretic bases for changing the three essential relationships in schools: principal-teacher, teacher-teacher, and teacher-student. **Third,** I examine the works of Dewey, Glasser, and Giroux to exemplify theoretic underpinnings useful for practitioner-generated, "informed" theory. **Last**, I make two suggestions for improving principal preparation programs.

Before expanding on the concept of intellectual empowerment, I present the assumption on which this paper is based.

An Assumption Undergirding This Paper

Dramatic changes in the social, cultural, and economic context of schools underscore the urgency of dealing with diversity. In this paper, I draw upon only one aspect of cultural diversity: that of the educationally disadvantaged.

The size of the growing educationally disadvantaged student population will assume unprecedented proportions in the twenty-first century, an 33% increase between 1987 and 2020 (Natriello, McDill, & Pallas, 1990). "Educationally disadvantaged" includes educational experiences from formal schooling, from the family, and from the community. Poverty and the resulting student apathy, and sociopathic and sexually promiscuous behavior all have deep, socio-cultural roots

relocation within the U.S. , and mergers and buyouts. Real wages fell 14% between 1973 and 1986. The income gap between the rich and poor widened considerably. The wealth of the richest 1% increased from 27% of the total to 36% in 1987.

Currently 13.5% are considered poor and this condition is increasing among racial minorities, among households headed by women, and among children. Eitzen comments that downward mobility causes not only a loss of economic resources, but also of self-worth closely connected to occupational status and income. Over 50% of mothers with children under six work outside the home, and more and more children are being raised in families in which their parents have less and less time for them. Sixty percent of today's five year-olds will live in a single-parent home before they reach the age of 18; 90% of these will live with their mothers. These children likely will live in a decidedly lower income bracket, and less likely will be high achievers.

What is crucial for the education community is that failure to anticipate upcoming changes will threaten our economic, social, and political stability (Natriello, McDill, & Pallas citing Levin). Closer to home, unless we solve our inner-city public school crisis, public schooling may no longer exist (Richard C. Wallace, Jr., annual convention of the University Council for Educational Administration, 1990). This paper's assumption is that school restructuring can be framed in vital economical and political urgency. All parties associated with schooling must change -- especially in economically depressed cities and rural areas.

The Concept of Intellectual Empowerment

Kilbourne (1991) defined the intellectual act as helping the learner use one's mind either to become aware of or to understand something. Intellectual functions include hypothesizing, citing, contrasting, comparing, appraising, interpreting, questioning, and justifying (Kilbourne, citing Komisar).

Intellectual empowerment is grounded epistemologically and is a precondition for organizational change. As Sirotnik (1989) contends, knowledge cannot be produced and imported from the outside, but instead consists of interpretations drawn directly from actual circumstances, events, etc., and expressed as sentiments played out in the daily workplace contexts. For practitioners, knowledge is inseparable from reflection on practice and is not totally dependent on established theory and technique. Practitioners do not separate means and ends but define them interactively in framing problematic situations (Schon, 1983).

Yet Sirotnik and Sirotnik and Oates (1986) go beyond reflective practice in their use of "critical inquiry". (The term critical is intended as dialectical and constructive, not polemical and destructive.) Professionals at the workplace are ... *driven by a critical theoretical perspective as the sine qua non for school renewal and the increased potential for school change* (Sirotnik & Oates, p. 8, original emphases). A commitment to active inquiry permits school professionals to understand their schools in ways providing both the impetus and direction for change. In the process of this sense-making, participants ask such questions as "What are we doing now? Whose interests are

(and are not) being served by the ways things are." Critique becomes a legitimate method of inquiry with an assumption that values and beliefs of organization members are not neutral but comprise an unavoidable medium through which inquiry is conducted.

Intellectual empowerment has a transformative purpose, in which teacher reflection transcends teacher and school effectiveness studies, and instead helps teachers "...move towards a point where the elaborations of their own knowledge generate projects for action," (Smyth,1992, p. 287, citing Elbaz). Empowerment, then, is intertwined with praxis, the reciprocal processes of trying both to understand and to change an organization (Foster, 1986). Praxis involves a thesis and antithesis, or a dialectical: analyzing the present to determine the bases for radically new actions.

In sum, the key among practice-driven epistemology, reflection-in-action, and praxis is the transformative goal of intellectual empowerment. An **intellectually-empowered** school results when its members **collectively** make a conscious choice between what has been and what can be: what Habermas (cited in Sirotnik & Oates, p. 86; 1986) called a "practical not controlling interest because of its potential to attain action-oriented mutual understandings." The bridge between what has been and what can be is **knowledge owned by participants themselves** with formal theory used as a support, rationale, focus. As defined above, intellectual implies choice: A school's teachers and administrators use power of the intellect when they become convinced that an alternative to traditional practice exists for them. They are empowered from within when they chose to reject traditional organization

seven-period days, tracking and grouping, for the uncertain future that is client-based and ultimately will work better than current instructional practices.

Initial Reports From Schools Undergoing Restructuring

In this section findings from several field studies are used to speculate that principals and teachers are struggling with their conceptualizations of restructuring, particularly in formulating new roles and relationships among principals, teachers, and students.

Keedy (1991a) collected teacher classroom beliefs, instructional strategies, and social norms in three high schools nationally recognized as pioneers in systemic school reform to assess teacher-student relationships. Were these teachers, for instance, the facilitators (McCarthey & Peterson, 1989) and modelers (Spady, 1988), and students the workers (Sizer, 1984)? Or was it business as usual -- with teachers lecturing, e.g., "sage on a stage" (Fisher, 1990) and students taking notes, e.g., traditional emphasis on compliance (Hampel, 1986)?

These beliefs, strategies, and norms (BSNs) were analyzed quantitatively (within-school response of 20 sets of teachers and their students) and qualitatively (assessment by a national panel of experts using a teacher role continuum from learner-centered pedagogy to teachers -as-knowledge dispenser). In **Fairview** and **Bluehill** high schools collegial norms had not filtered down to the classroom level -- despite some structural changes at the school and district levels, e.g., site-based management. The BSNs at these schools may differ very little from BSNs in "average" high schools. Only the BSNs of **Smallwood** (a

teachers, parents, and students favoring humanitarian values and a student-centered curriculum) were analyzed as approximating student-centered instruction. Yet, even at Smallwood, teachers and students may have set BSNs largely through self-selection: Logically, teachers and students attracted to Smallwood share pre-established beliefs and norms and therefore reinforce student-centered instructional strategies.

Keedy (1992) conducted a field study of three teacher collegial groups (TCGs). As part of the TCG process the 18 participating teachers each were asked to formulate a year-long focus of inquiry related to classroom instructional improvement. No year-long foci were analyzed as challenging underlying assumptions about schooling or about teacher-student roles and relationships. Most teachers used these groups to implement instructional procedures or improve skills, e.g., cooperative learning groups, learning stations, improve student note taking during lectures. Only one teacher reported that she used the library during the project. A panel of experts assessed the gameplans used by these teachers. (Gameplans were incremental steps chosen by teachers to implement their year-long foci during the nine meetings.) These sets of gameplans did not exhibit a cohesive pattern of professional growth towards their year-long foci; nor did gameplans become more challenging as teachers (presumably) became more comfortable in the TCG meeting format.

Keedy (1991b) also analyzed interactions among one TCG's members for the entire school year. The six participating teachers were observed as using only seven interactions (7% of the total group

interactions) analyzed as Critique, i.e., probing, challenging, suggestions for improvement requiring teacher change. Advice/Suggestions comprised 72%, Encouragement 13%, and Support 9% of the total interactions (n=103). Because of the collegial nature of TCGs (voluntary participation, provision of released time, emphasis of TCG format on professional growth), the paucity of critiques was surprising, especially since frequency of critique *declined* over the course of the project.

In both these TCG studies contrived collegiality (Hargraves, 1980) characterized the teacher-teacher relationship. Teachers followed the TCG format and appeared collegial; on only a few occasions, however, did teachers actually engage with one another about deep, underlying purposes about schooling or confront each other about the necessity of changing teaching behaviors.

Prestine (1991) studied four high schools participating in the Illinois Alliance of Essential Schools (affiliated with the Coalition of Essential Schools), and concluded:

> The necessity for a consensual agreement, understanding, and participation of teachers added to the perceived difficulty in reaching common interpretation of the essential school principles. There is a perceived necessity for the development of new roles and relationships as well as processes for decision- and policy-making but little agreement as to how these changes will be accomplished. (pp. 21-22)

Prestine noted that a lack of clarity and direction has made school personnel unsure what Essential Schools restructuring means. In all four schools teachers misconstrued the CES coordinators (who were teachers) as quasi-administrators, and not colleagues. Three of the schools narrowly interpreted the Nine Core Principles as procedures many teachers already had been doing, e.g., cooperative learning, team teaching. (One school more aggressively submitted a master schedule to divide the school into three houses with one-third of the students projected to be in an Essential School structure.) Three principals perceived that planning councils were avoiding the "hard" decisions impacting on or directing other teachers. In sum considerable ambiguity existed regarding the bases for new roles and relationships, especially teacher-teacher.

In reporting their findings on a five-year restructuring project at Lakeview School, McCarthey and Peterson (1991), noted that changes in school structure had little influence on classroom practice. The school day had been reorganized to provide team cooperative instructional planning. Students were grouped vertically, e.g., grades 2-3--4, and "pullout" programs were eliminated.

Despite these structural changes, teachers maintained the role of "teller" . Although teachers reported that they had adopted the "whole book" approach, they still "basalized" their literature-based program by asking students low-level questions, and by developing worksheets resembling basal skill sheets. These phenomena were observed across the six classrooms studied. The teacher participants' behaviors differed

not in kind but in degree in their lack of conceptual understanding of classroom role change between teachers and students.

McQuillan and Muncey (1991) investigated the efforts of teachers and administrators in four high schools to interpret and implement the nine principles of Coalition of Essential Schools (CES) by forming schools-with-a-school (SWAS). Across the four cases, these SWASs created allegations of preferential treatment for SWAS members and the isolation of SWAS members from non-SWAS members. SWAS members' intended program expansions (to include more of the school-at-large's students) was problematical, partly because of lack of school-wide consensus about the need for reform. As allegations by non-SWAS teachers about preferential treatment toward SWAS teachers grew, many SWAS teachers simply avoided interaction with other colleagues. Non-SWAS teachers often perceived SWAS teachers as the "principals' favorites. Isolation and lack of consensus about school-wide interpretations of CES principles ironically impeded the ability of SWASs to expand. The logistical necessities for SWASs, e.g., block periods, lecture space for 80 or more students, smaller spaces for tutorials, were impeded by the very schedule and school structure CES advocates claim are no longer appropriate.

Teacher-teacher relationships, and to a lesser degree principal-teacher relationships, long governed by traditional norms, e.g., teacher cordiality, reticence to confront colleagues about pedagogical issues, and teacher isolation, seemed considerably divisive and politically charged in these four schools. McQuillan and Muncey concluded: "In each case

the problems created by the SWAS programs raised questions about whether Coalition philosophy could become the school's dominant philosophy" (p. 34). Sizer (cited by McQuillan and Muncey, p. 34) even addressed SWAS programs specifically: "... *the Coalition aims at the heart of schooling. We are not creating alternatives [mini schools] but rather are attempting to improve the mainstream institution* (italics added).

Wehlage, Smith, and Lipman (1992) studied four communities selected by the Annie E. Casey Foundation New Futures program, in which local communities formed collaborative organizations designed to channel community political will and resources for systemic reform. These investigators assessed that the Foundation reformers erred in failing to stimulate a high level of commitment and a visionary yet practical plan of action. Foundation officials had assumed that community leadership could stimulate and authorize fundamental change and restructuring plans capable of making a difference in daily lives of both students and teachers. Wehlage et al. (p. 83) concluded: "... the desire for change at the community level has not yet been translated into actual movement within the schools." These authors suggested that central office personnel must take the lead in criticizing taken-for-granted norms like academic disengagement, high rates of suspensions, and low achievement. As part of systemic reform central office administrators "send a message" to principals and teachers out in the schools that many assumptions encountered in conventional schools must be challenged and "new shared educational meanings" invented (Wehlage et al. citing Fullan, 1982).

These initial results are not overly encouraging: A common finding among the above field studies is the uncertainty and ambiguity in forming a rationale for new roles and relationships among principals, teachers, and students, and, in the case of Wehlage et al., central office-school site personnel. These data on initial efforts for genuine school renewal are understandable, because, as noted in the Introduction, we have an anti-intellectual tradition and this tradition is reflected in our public schools. Of the 26 League of Professional Schools investigated by Glickman, Allen, & Lunsford (1992), for example, only three had both conducted action research and taken actions based on that research. Nine of these schools had conducted no action research. Teachers and principals apparently thought that goals and school improvement plans could be formulated without first studying the school context for agendas for action.

Teachers and administrators in restructuring schools, in sum, apparently lack the ideological and theoretic bases for an awareness and understanding of why school restructuring should occur in the first place -- particularly bases grounded in critical discourse regarding traditional school relationships. They seem unaware that schools must become different and that traditional assumptions, especially relating to principal-teacher, and teacher-teacher, and teacher-student, must be challenged and changed. Teachers, for instance, cast teacher empowerment in power terms (sharing decision making with administrators) and expect that things automatically will be better immediately. In fact, things initially are worse because hidden agendas

hitherto concealed under the wraps of traditional institutional norms, e.g., teacher cordiality, suddenly are in the open and conflict the result . (See Sizer, 1991, and Glickman, 1990.) All problems associated with school restructuring cannot be explained away by "top-down control and lack of confidence in school people". A major source of the problem may be a lack of intellectual aggressiveness on behalf of teachers and principals for critical inquiry and a coming to terms with the cold reality that schools as institutions are not meeting diverse needs of students for twenty-first century.

Theories Useful for Practitioner-Generated Bases for School Restructuring

In this section I first use an essay by Dewey to underscore the relationship between theory and practice. Then I use the works of Giroux and Glasser as examples of theories providing the potential for empowering teachers and administrators intellectually.

Dewey: The Relation of Theory to Practice.

In discussing the relationship between theory and practice, Dewey (1904) differentiates two (often conflicting) goals in teacher education. One goal is providing training to give teachers the necessary professional classroom teaching skills (*apprenticeship*). The other goal uses practice work as an instrument in making theoretic instruction real and vital (*laboratory* point of view). The former is an immediate need to form and equip the teacher in the skills and proficiencies of teaching; the latter provides the intellectual method of good workmanship, and gives the

student both a better hold on the educational significance of the subject matter and on the science, philosophy, and history of education.

In other professional schools, e.g., architecture, law, engineering, students receive intellectual control (metacognition based on general scientific principles) rather than "extensive and detailed, practice" . Skills in routine and technique are postponed until after graduation, and learned on the job. In the teacher profession, conversely, candidates receive the worst of both worlds. Student teacher are under the ever-watchful eye of the room critic teacher, under whom prospective teachers form work habits with empirical, not scientific sanctions. Theory and practice are not synthesized into candidates' personal experiences; instead, candidates receive immediate skills at the severe cost of intellectual growth and independence. Prospective teachers are conditioned to deal not with the internal attention of their students (the students' unique, personal play of mental growth) but with external attention (certain conventional postures and attitudes). Future teachers have their controlling habits fixated through blind experimentation and through arbitrary and mechanical precepts, instead of their practice being grounded in principles of psychology, logic, and the history of education.

Dewey rejects the argument that theory (about instruction) is abstract unless students can test and illustrate it by their own practice teaching. Students mistakenly separate human growth and learning gleaned from the nursery, home, and playground from that of the classroom -- as if classroom learning is unique and unto its own laws.

Indeed, student teachers have within their own direct and personal experience plenty of practical material by which theoretical principles can be illustrated. Student teachers first begin with values and generalizations from their own experiences. Only then can they proceed gradually to facts connected with other persons of whom they can know little [their own students] to influence their mental operations. Theory should be directed to making students thoughtful about their work in relation to principles, rather than inducing them to recognize that certain methods are good and others bad. Theory generally grounds practice and provides the generalizations and laws, the conditions of which teachers must take account if they wish to reach certain ends. Intellectually equipped student teachers can use general principles to determine how and why certain instructional routines will work and is both an independent judge and critic of their proper use and adaptation.

Giroux: Teachers as Transformative Intellectuals

According to Giroux (1988) social theory has the potential to transform educators from de-skilled technocrats to intellectuals capable of combining scholarly reflection and practice in the service of educating students to be thoughtful, active students. Teachers and reform-minded principals must examine the ideological and material forces that have reduced teachers to the status of specialized technicians whose function is to implement curricula formulated from above in the power structure rather than critically developing curricula fitting specific pedagogical concerns.

Giroux uses the work of Freire (1985) to illuminate the concept of "agency": both an implied demand to understand how experiences in schools silence the possibilities for critical learning and employment of a language for organizing pedagogical experiences into social forms and practices advocating more critical, open, explorative, and collective ways of learning. Schools are historic and structural embodiments of forms and culture that ideologically signify the political and moral regulation intimately connected with the technologies of power- producing economic asymmetries.

"Positive knowledge" is predetermined, hierarchically - arranged, cultural currency dispensed to all children regardless of their interests and differences (Giroux citing Cusick). Positive knowledge is not compelling enough to interest most students. Students are disempowered because curricula are decontextualized, i.e., have little connection to everyday student experiences. Teachers are positioned as "clerks of the empire" -- the result of a long tradition of management models of pedagogy and management (Giroux citing Callahan). Principals and teachers respond to student disinterest, violence, and resistance by shifting their concerns from actually teaching to maintaining law and order.

Most recently, technocratic interests have employed accountability models, teacher-proof curriculum materials, and state-mandated certification requirements to maintain the clerk-like status of teachers. Behaviors of teachers are controlled and standardized across schools and diverse student populations. As line manager cogs in this technocratic

system, principals are expected to display evidence of excellence in higher standardized test scores and to downplay attempts of teachers and students to use judgment and discretion in cultural specificity and meaning - making based on student contextual experiences. State education agency officials over the last decade have ratcheted the structural-functionalist model even deeper into the public education bureaucracy.

Schooling must be viewed as a struggle to define meaning and power relations. Critical reflection and action are a social project equipping students with an active voice in their learning experiences. Teachers and students together can be transformative intellectuals in overcoming economic, political, and social injustices. Giroux (1992, p. 9) sums up the intellectual mission of for teachers and administrators:

> Educators can develop an emancipator theory of leadership theoretically and ethically grounded in utopian purpose. Administrators and teachers need to work under conditions that allow them to function as intellectuals and not as technicians or clerks. If we are to take intellectuality seriously as part of the theory and practice of leadership, it means giving educators joint power to shape the conditions under which they work, to produce a curriculum that is suited to the interests of students they actually teach.

For Giroux, critical theory provides a theoretic framework within which principals, teachers, and students can unravel and comprehend the

relationship among schooling, the wide social relations informing it, and historically constructed needs and competencies which students bring to schools.

Glasser's Control Theory in the Classroom

According to Glasser (1986; Gough,1987), the Commission on Excellence in Education (1983) based its school reform program on faulty traditional stimulus-response theory whose basic premise is use of external force to make teachers and students work harder. "Control" does not mean to dominate but to control what goes on around us in satisfying our own needs. Regardless of teachers' best efforts, fifty percent of our students choose not to work because this work does not satisfy their needs.

If teachers and principals want students to do the work necessary to learn, then they must create school settings in which students and teachers (not parents or experts) perceive that there is a payoff if they work harder. Making students work by getting tougher on them has never produced the intellectual effort necessary for academic success in school. Students feeling no sense of belonging or involvement in school will pay little attention to academic subjects. Like many adults, students have a need for power, i.e., to have control over satisfying their needs. According to control theory, discipline problems do not occur in classrooms where students' needs are satisfied. In the classrooms where discipline problems are non-existent, students take part in class meetings and discussions allowing them to feel accepted in the academic environment.

Glasser's work provides theoretic underpinnings for reconceptualization of school roles. Most teachers see themselves as workers, a point of view shared by many school administrators. Teachers and much of the general public have perceived students not as competent young people responsible for their education but as helpless raw material needing teacher direction if students are to learn anything at all. Teachers traditionally have viewed themselves as managers only to the extent that they reward and punish and use power to force students to comply with their directives. Until teachers see themselves as managers and their students, not themselves, as workers, students will not increase their efforts to learn.

Modern managers are willing to share power and act as facilitators, resource people, and coaches with students in learning teams. In this powerful manager role, their jobs will be easier because students, not the teachers, will do the work. Glasser contends that successful U.S. businesses have learned to redistribute power to maximize productivity; the more power workers have over their environments, the harder they will work. For schools to be more productive, principals should act as middle managers, teachers as classroom managers, and students as workers producing the goods and services. Figuring out how to *structure* their jobs so that students, like all workers, will see the benefit of working harder is a managerial, i.e., principal and teacher, responsibility (original emphases). Shanker (cited in Glasser, 1986) claims that managers and workers both are responsible for working within the system and improving it. Only the workers can

improve the system. Both workers and managers will find that 80 to 85% of everyday problems lie with the system and only 15 to 20% with the workers.

Glasser concludes that teachers cast in managerial roles would realize that the classroom structure, not the students, causes most of the problems. In control theory teachers and students would engage in a continual examination of how subjects are taught. Glasser suggests that teachers organize their classes into cooperative learning teams. He uses the pedagogy of Roy Smith (Central Junior High School, Hingham, Massachusetts) to exemplify how a variety of reading, listening, speaking, and writing skills are structured carefully into two- to four-day units. The value of letting the students do the work is vitally important because learning-team students have to figure out how to get along with each other and how to complete a cooperative task on time.

The Role of Theory for Intellectual Empowerment.

When viewed in the context of intellectual empowerment, the role of theory becomes constructivist by providing educators with rationale for alternative ways of construing educational settings. Dewey's warning that normal schools emphasizing classroom (survival) practice at the expense of theory has an ironic implication for today's attempts at systemic reform. Theory, to Dewey, grounds practice and provides the generalizations and laws, the conditions of which teachers must take account if they wish to reach certain ends. Intellectually equipped teachers use general principles to determine how and why certain instructional routines will work. Dewey's provides a theoretical

framework for intellectual empowerment: theory used as analytic tools to build knowledge from practice).

Giroux and Glasser provide clear rationales for new roles and relationships among principals, teachers, and students. Giroux's theory provides a socio-political basis for teacher-initiated curriculum action. The cult of efficiency popularized by Callahan, and now retooled as the demands of the marketplace, has decontextualized principal-teacher, teacher-teacher, and teacher-student interactions to reductionist curricula, mandates, and technocratic procedures passed down by zealous local and state education agency officials. Giroux maintains that schooling must be viewed as a struggle to define meaning and power relations.

Glasser's control theory provides a rationale for principals and teachers to examine the classroom structure for school academic failure. For schools to be more productive, principals should act as middle managers, teachers as foremen, and students as workers producing the goods and services. Structuring their jobs so that students, like all workers, will see the benefit of working harder is a managerial, i.e., principal and teacher, responsibility.

Summary

Teachers and principals in schools undergoing restructuring are struggling conceptually with the design of new roles and responsibilities for school community members. Many teachers, and some enlightened principals, appear convinced that merely implementing shared decision making (as if it were a classroom procedure) will restructure and improve

schools. Such has not been the case. Until school personnel become empowered intellectually, they will continue to look for answers from "above," e.g., research centers, universities, think tanks, just as they have received mandates and instructional procedures from local and state education agencies. Schools will remain infertile grounds in which adoption and implementation, but not institutionalization occur.

To connect proper use of theory to intellectual empowerment, we must differentiate two definitions of theory implied in this paper. **Formal** theory (generalizations across cases or situations) is knowledge appropriated from outside schools and provides the invaluable theoretic underpinnings for school restructuring, e.g., for new roles and relationships. The works of Giroux, Glasser, and Dewey are examples of formal theory. Teachers and principals can use formal theory as: 1) analytic, transformative tools capable of enlarging institutional vision (Prawat, 1992); and 2) and understanding an organization while changing and improving it (praxis, according to Foster, 1986). The product of the above two processes is **informal theory**: making human interests and ideologies explicit within the practitioner context, i.e., precepts grounded in authentic practice.

As indicated in Figure 1, intellectual empowerment for school revitalization may have two phases. In the **Phase** 1 (as noted above), informal theory emerges from an ideological tension between exploration of formal theory (organization theory, research, and models) and student needs assessment (What do we want our students to know and be able to do?). Teachers with a penchant for conceptual, abstract thinking provide

their colleagues with the rationale for institutional change -- especially when traditional roles and relationships are compared with twenty-first century student needs for information processing and active citizenship.

Place Figure 1 about here

In the **second phase** the teachers conducting the exploration of formal theory and the student needs assessment, largely through personal, informal interaction, function as "ideological point people" in politicking with their colleagues to create an agenda for action, a five-to-ten year school improvement plan grounded in the site's informal theory theoretically and experientially. Only then may plans of action, e.g., shared decision making, integrated curriculum, teacher work redesign, have a reasonable chance for implementation and institutionalization.

The four functions of school revitalization (identified by the four superscripts) may satisfy remarkably different teacher needs. The senior English teacher (with expertise in Chaucer) might be a candidate for exploration of formal theory, the ninth-grade social studies teacher predisposed towards pilot-testing projects in teacher work redesign.

Implications for Redesigning Principal Preparation Programs

Perhaps we can see a silver lining among the storm clouds which have engulfed education administration (EA) programs (Achilles, 1989; Griffiths, 1988; McCarthy, Kuh, Newell, & Iacona, 1988). Although many EA professors are deemed too theoretical and not practice-oriented,

current and aspiring principals need theoretic bases for systemic school reform in addition to skill building exercises, e.g., in-basket techniques, simulations, role play.

The professor- school administrator relationship is a crucial key in the restructuring process. Professors are well-positioned to *influence* at least aspiring principals. Since many EA professors are former administrators, they can convince aspiring administrators that their perceived effectiveness ultimately will depend on empowering their staffs for school change and improvement. EA professors also are outsiders to local community and board politics and control - oriented superintendents. They have the political and professional discretion to work both with teachers and administrators and with agency personnel in designs for new schools and principal preparation programs for the next century of schooling. (See Sirotnik and Oakes, 1986, for an actual case of professor-school collaboration for fundamental school improvement.)

Principals make a difference in the schools they manage and lead (Andrews & Soder, 1987; Hallinger & Murphy, 1987; Heck, 1992). With the specter of diverse populations looming, and new kinds of schools needed, e.g., Comer's community schools, leadership is being reframed as personal authority. As Sergiovanni (1992) pointed out, we need to ask why teachers should follow the lead of principals. Management issues should be reframed from instructional delivery systems to schools viewed as communities. Instead of monitoring deliveries, targets, and goals, and providing clear instructions to subordinates, principals need to ask

different questions. Two of these questions, according to Sergiovanni, are: How can we define a learning community? What relationships among parents, students, teachers, and administrators are needed to redefine this school as a community? Reframed school leadership consists of actions helping school personnel evaluate taken-for-granted assumptions about structure, practices, and policies of schooling (Reitzug, 1992).

Principals as recent graduates from preparation programs should have something compelling to say and stand for something potentially persuasive to teachers (Sergiovanni citing Haller & Strike). After referring to Bolman and Deal's "idea leadership," Sergiovanni concludes that designing outward from shared values, purposes, commitments makes more sense than "down from" objectives and work structures. If schools are going to become self-designed learning communities, then principals should mirrow, i.e., take the lead, in the intellectual empowerment needed for communities of teachers and administrators. Principals should examine and build their informal theories about the practice of leadership and management, with formal theory merely a guide (Sergiovanni, 1991).

EA professors might consider doing two things -- while there is time and opportunity. The first deals with recruitment and program - design; the second with a new cultural orientation to preparation programs.

Recruitment and Redesign of Principal Preparation Programs.

Without totally redesigning principal preparation programs, we will continue to attract and produce traditional, control-oriented principals disinterested in the need for intellectual empowerment. (See Murphy , 1990, for a redesign model.) **Traditional programs attract traditional candidates.** Ideally we need to recruit administrative candidates who question conventional assumptions about schooling and understand the advantages of shared power in schools.

To gain influence in the recruitment process, however, one has to lose some influence. As suggested at the focus group sessions (first Annual Danforth Foundation - National Policy Board Forum, 1991), district and EA program representatives can collaborate on developing entrance criteria for EA programs. In jointly establishing these criteria, university representatives can exert influence on the type of administrative candidates informally "tapped" by district administrators. District officials also would be obligated in assuring that program graduates get administrative positions.

EA professors commensurably would be obligated to meet some district demands. Such demands might relate to "skills training". Since skills tend to be contextually oriented, districts might offer this training. Perhaps skills training should occur at programs for entry-level administrators, e.g., assistant and beginning principals. These administrators need survival skills partly related to district political context. Whom do I really call when I have this particular problem? How do I deal with an angry parent? How do I schedule certain classes to comply with the latest SEA mandates? (See Daresh and Playko, 1992,

for research on the needs of novice principals). Universities would have more influence on principals who have survived the first years and are now more receptive to concepts like intellectual empowerment. Principal preparation programs, then, need to be cognitively tiered: an initial tier for skill training and a subsequent tier of informal theory building for experienced principals.

Changing the Cultural Settings of Principal Preparation Programs.

The second major change is cultural -- that of setting new classroom norms defining graduate student - professor relationships. (See Calabrese, 1990). Traditional, i.e., control-oriented candidates, may prefer traditional roles of professor metering out information through the lecture-and-discussion format, and student taking notes. Oddly enough, the professor does much of the work; the students, like their undergraduate counterparts, try to guess what is going to be on the tests. If intellectual empowerment is indeed a key to school renewal, we should start with empowering our experienced principal candidates intellectually within university classrooms.

Candidates can use formal theory in examining their belief systems to construct informal theory related to the political and professional workplace contexts. Under the new norms, candidates in principal preparation programs are the active learners and professors the resource providers, facilitators, and catalysts for thought. (Does this sound like restructured roles of teacher and student in the CES schools?) Dissertations could be accumulative learning processes and "start" during a doctoral student's first year. The purpose of dissertations would

be self-empowerment and relate to development of informal theory. Informal theory, as constructed by students in principal preparation programs, may consist of the interaction among three sources: 1) one's moral beliefs as influenced by personal biography; 2) EA theory, models, and research; and 3) one's political/ professional workplace context. (See Figure 2.) Based on informal theories students can project practical school improvement models, e.g., shared decision making, site-based

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Place Figure 2 About Here

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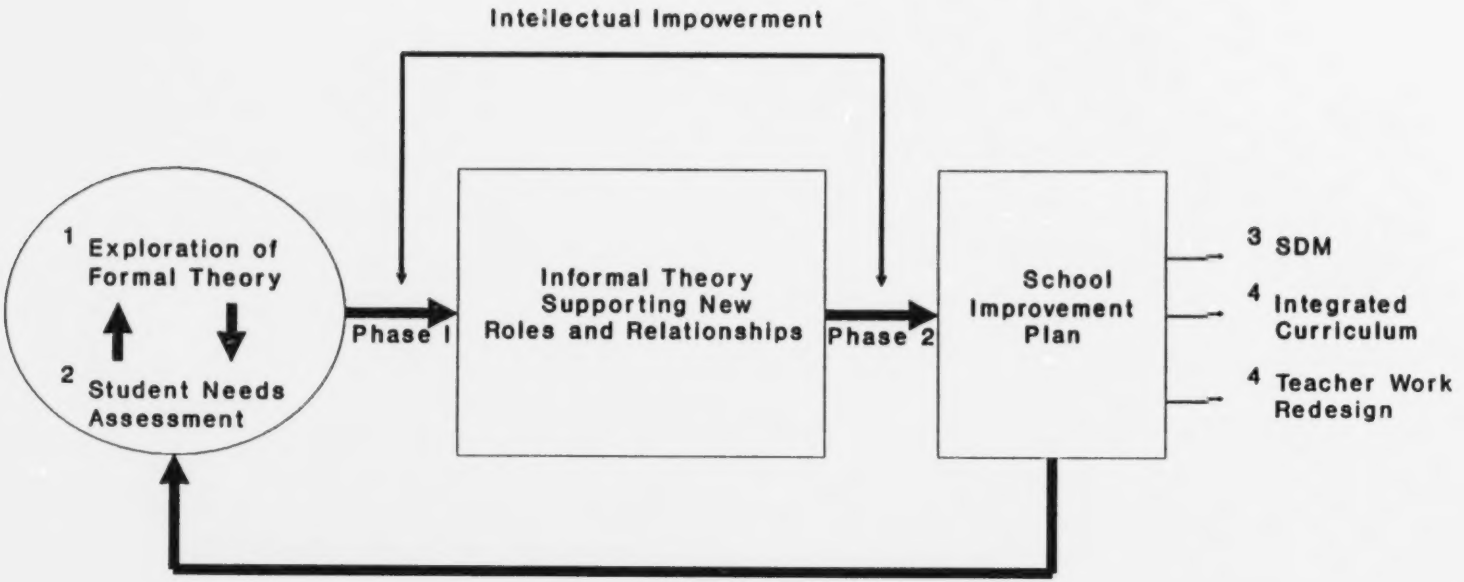
staff development, and so forth, and studied in application to school settings. (See Shapiro and Walters, 1990, for restructuring the research curriculum and dissertation process.)

Principal preparation professors ultimately need to change the ways principals think about their work as bases for doing things differently (Leithwood, Second Annual Danforth-National Policy Board Forum, 1992). Problem-based principal preparation programs and critical inquiry needed for school intellectual empowerment are inter-related. Both processes are highly dependent on how problems are diagnosed and framed (Getzels, 1979). Schools may be unable to become learning communities without principals committed to communicating visions and empowering others. Otherwise our schools may never undergo the intellectual and structural renewal required for 21st century schooling.

Figure 1. Use of Theory and Practice in School Revitalization



Cognitive Functions Required

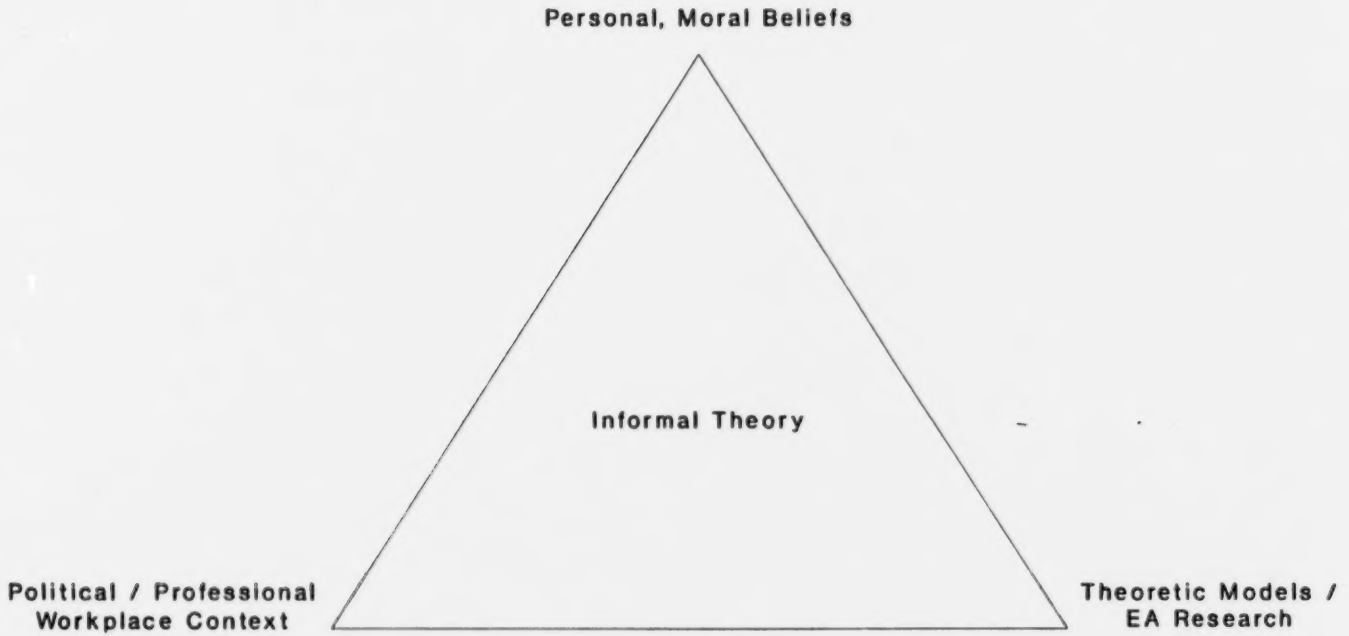
[1] Conceptual, theoretic orientation: praxis-driven(critical inquiry, reflection)

[2] Practical, project orientation: data collection and assessment

[3] Power-brokering orientation: translating "positional" power to school-wide "enabling" power

[4] Risk-taking; entrepreneurial orientation: piloting new roles and relationships

Figure 2. Epistemological Basis for Practitioner Informal Theory[1]



[1] Adapted from "personal, practical theory," in: Reitzug, U.C, & Cornett, J.W. (1991). Teacher and administrator thought: Implications for administrator training. Planning & Changing, 21, 181 - 192.

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